



Environmental Management Consolidated Business Center (EMCBC)

Subject: Identifying, Filing and Maintaining Records

Implementing Procedure

APPROVED: (Signature on File)
EMCBC Director

ISSUED BY: Office of Logistics Management

1.0 PURPOSE

The purpose of this procedure is to establish a process for identifying, filing and maintaining records generated and received by the U.S. Department of Energy (DOE) Environmental Management Consolidated Business Center (EMCBC). This procedure also provides the framework for implementation of a records filing system at EMCBC Service Level Agreement (SLA) sites, at their discretion.

2.0 SCOPE

Records are managed by using the theory that records pass through three stages: creation/receipt, maintenance/use and disposition. This procedure, along with the File Plan Creation and Maintenance, and Vital Records Identification and Protection procedures cover the first two stages of the records lifecycle (creation/receipt and maintenance/use). Records Disposition shall be covered in a separate procedure(s).

3.0 APPLICABILITY

This procedure applies to all EMCBC organizations and may be adopted by Service Level Agreement (SLA) sites, at their discretion.

4.0 REQUIREMENTS and REFERENCES

4.1 REQUIREMENTS

- 4.1.1 Federal Records Act of 1950, as amended (codified at Chapters 21, 29, 31, 33 of Title 44 U.S.C.)
- 4.1.2 Coordination of Federal Information Policy, 44 U.S.C. Chapter 35
- 4.1.3 Management and Promotion of Electronic Government Services (E-Government Act of 2002) P.L. 107-347, 44 U.S.C. Chapter 36)
- 4.1.4 Privacy Act of 1974, [P.L. 93-579, 5 U.S.C. 552a(m)]
- 4.1.5 Freedom of Information Act (FOIA) [P.L. 89-487, 5 U.S.C. 552 (g)]

- 4.1.6 Health Information Portability and Accountability Act of 1996 (HIPAA), 45 CFR Part 160 and Subparts A and E of Part 164, December 3, 2002, Revised April 3, 2003
- 4.1.7 DoD 5015.2-STD, Electronic Records Management Software Application Design Criteria Standard, 2007.
- 4.1.8 DOE O 243.1, *Records Management Program*, dated 2-3-06
- 4.1.9 DOE O 243.2, *Vital Records*, dated 2-2-06
- 4.1.10 DOE O 414.1C, *Quality Assurance*, dated 6-17-05

4.2 REFERENCES

- 4.2.1 DOE M 470 4-4, *Information Security*
- 4.2.2 DOE M 471.3-1, *Manual for Identifying and Protecting Official Use Only Information*,
- 4.2.3 DOE M 471.1-1 Chg, *Identification and Protection of Unclassified Controlled Nuclear Information Manual*
- 4.2.4 NARA-approved DOE administrative, programmatic, and site-specific records disposition schedules
- 4.2.5 *EMCBC Records Management Policy*, PS-243-01
- 4.2.6 *EMCBC Vital Records Identification and Protection*, IP-243-02
- 4.2.7 *EMCBC File Plan Creation and Maintenance*, IP-243-04
- 4.2.8 *Controlled Correspondence and Commitment Tracking System (CCTS)*, IP-410-01

5.0 DEFINITIONS

- 5.1 Adequate and Proper Documentation. Record of the conduct of Government business that is complete and accurate to the extent required to document organization, functions, policies, decisions, procedures, and essential transactions and is designed to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by Government activities.

5.2 Centralized Filing. Files accumulated by several offices within an organizational unit and maintained and supervised in one location. Utilize a centralized filing area when:

- More than one person within the organizational unit has a need for the same files.
- Organizational unit is located close enough to allow for centralized filing.
- If volume of records are too great to be held in office

5.3 Classified Information. Information that is classified as Restricted Data or Formerly Restricted Data under the Atomic Energy Act of 1954, or information determined to require protection against unauthorized disclosure under Executive Order 12958, Classified National Security Information, as amended or prior executive orders, which is identified as National Security Information. For the security requirements and procedures affecting classified records, see DOE M 470.4-4, *Information Security Manual*, dated 08-26-2005.

▲ Note: DOE M 470 4-4 is only required if classified documents are involved. The EMCBC does not have classified documents, but a SLA site may.

5.4 Cross Reference. A cross reference is a means of referring to a document/file filed elsewhere, either in another file or another location. A sensitive file might not be filed in a centralized file area, but a cross reference to the actual file location would be filed in its place.

5.5 Decentralized Filing. Records of an organizational unit that are maintained in multiple locations/offices. Only utilize decentralized filing when:

- Centralized filing is too distant for efficient service.
- Information must be immediately available to the creator.
- Constant reference is made to the files by a particular individual.

5.6 Destruction. Eliminate from a system a group of records in compliance with the appropriate records retention schedule so that they cannot be accessed, retrieved or recovered.

5.7 Disposition. Those actions taken regarding records no longer needed for the conduct of the regular current business of the creator. These actions include transfer to storage facilities or records centers, transfer of physical and/or legal custody to NARA, and destruction.

5.8 Document.

- 1) Recorded information regardless of physical form or characteristics (e.g., electronic, audiovisual, architectural, etc.). Often used interchangeable with a record.
- 2) An individual record or an item of non-record materials or of personal papers.

- 5.9 Electronic Records. Records that are stored in a form that only a computer can process. Electronic records may be the products of office automation or larger transactional automated applications. As with all records systems, systems containing electronic records must be designed so that adequate maintenance and disposition procedures are planned during the system's design phase.
- 5.10 File Plan. A File Plan is a comprehensive outline that includes the records series, file organization, active file locations, file transfer instructions, file retention and disposition instructions, and other specific instructions that provide guidance for effective management of records, including vital records.
- 5.11 Lifecycle of Records. The management concept that records pass through three stages: creation, maintenance and use, and disposition.
- 5.12 Non-record. U.S. Government-owned documentary materials excluded from the legal definition of records, either by failing to meet the general conditions of record status already described, or by falling under one of three specific categories: Extra copies of documents preserved only for convenience of reference, stocks of publications and of processed documents or library or museum material made or acquired and preserved solely for reference or exhibition purposes.
- 5.13 Official Use Only (OUO). Certain unclassified information that may be exempt from release under the FOIA. Detailed identification and protection requirements are contained in DOE O 471.3, *Identifying and Protecting Official Use Only Information*, dated 4-9-03, and DOE M 471.3-1, *Manual for Identifying and Protecting Official Use Only Information*, dated 4-9-03.
- 5.14 Personal Papers. Documentary materials of a private or nonpublic character that do not relate to, or have an effect on, the conduct of agency business.
- 5.15 Record. "...all books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an Agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by the Agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the information value of the data in them." (44 U.S.C. 3301, Definition of Records).
- 5.16 Records Custodian. Person appointed by his/her Assistant Director to maintain organizational unit records and to ensure that information is managed in accordance with Records Management procedures. They are responsible to administratively control the records of all assigned record holders within the organizational unit.
- 5.17 Record Holder. A person who is responsible for maintaining records within his/her personal workspace. All records in the possession of a record holder are administratively managed by a Record Custodian.

- 5.18 Records Management. The planning, controlling, directing, organizing, training, promoting, and other managerial activities related to the creation, maintenance and use, and disposition of records to achieve adequate and proper documentation of Federal policies and transactions and effective and economical management of agency operations.
- 5.19 Sensitive Unclassified Information. In the absence of specific requirements, such as those in, DOE M 471.1-1 Chg, *Identification and Protection of Unclassified Controlled Nuclear Information Manual*, dated 10-23-01, DOE M 471.3-1, *Manual for Identifying and Protecting Official Use Only Information*, dated 4-9-03, Privacy Act of 1974, or HIPPA regulations, unclassified sensitive information describes information which warrants a degree of protection and administrative control that meets the criteria for exemption from public disclosure set forth under Sections 552 and 552a of Title 5, United States Code: the Freedom of Information Act and the Privacy Act.
- 5.20 Unauthorized Disposal. The improper removal of records from agency custody or the destruction of records without regard to a NARA approved records schedule.
- 5.21 Unclassified Controlled Nuclear Information (UCNI). Certain unclassified but sensitive information concerning nuclear material, weapons, and components the distribution of which is controlled under section 148 of the Atomic Energy Act. Detailed information and protection requirements are contained in DOE O 471.1A, *Identification and Protection of Unclassified Controlled Nuclear Information*, dated 6-30-00, and DOE M 471.1-1, *Identification and Protection of Unclassified Controlled Nuclear Information Manual*, dated 10-23-01.
- 5.22 Vital Records. Are those emergency operating records and legal and financial rights records required during and after an emergency or as part of the recovery from a disaster.

6.0 RESPONSIBILITIES

6.1 Assistant Directors

- 6.1.1 Appoint a Record Custodian to ensure organizational unit records are identified, filed and maintained in accordance with this procedure.
- 6.1.2 Ensure organizational work processes and procedures which generate records appropriately define those records and capture them for filing by the Record Custodian.

6.2 Assistant Director, Office of Information Resource Management

- 6.2.1 Ensure information systems intended to carry out electronic records management will comply with NARA's and DOE's requirements for electronic record-keeping systems.
- 6.2.2 Ensure all electronic information systems have their content managed and scheduled in accordance with NARA approved record schedules. (Ref 4.2.4) Information systems shall be managed based on content not system functions.
- 6.2.3 Ensure that Internet and Intranet postings containing official records are maintained in accordance with the EMCBC's record-keeping requirements.

6.3 Records Management Field Officer

- 6.3.1 Ensure Assistant Directors are aware of their programmatic and individual records management responsibilities.
- 6.3.2 Ensure that records are maintained cost effectively and that records storage facilities meet all appropriate requirements.

6.4 Records Management Staff

- 6.4.1 Assist Records Custodians with determining records/non-records, proper file code determination, how to handle specialty record categories (i.e., OUO, UCNI, etc.) and address any file maintenance questions.
- 6.4.2 Maintain the EMCBC Master File Plan (MFP), ensure it is kept up-to-date and available to the EMCBC personnel.

▲ See Attachment A for a copy of the EMCBC Master File Plan (MFP); this attachment is to be used as a reference only; the controlled copy is available through the EMCBC Intranet.

- 6.4.3 Provide records management guidance and technical advice to all EMCBC organizations and SLA sites on identification, filing and maintenance of records.

6.5 Record Custodian

- 6.5.1 Assist EMCBC personnel with determining records/non-records, proper file code determination and/or how to handle specialty record categories (i.e., sensitive, OUO, UCNI, etc.).

6.6 Record Custodian/Record Holder

- 6.6.1 Ensure that organizational records are filed in a timely manner.
- 6.6.2 Ensure sensitive information, including OUO and UCNI records are protected at all times and are handled in accordance with DOE Manuals. (Ref. 4.2.1, 4.2.2 & 4.2.3)
- 6.6.3 Utilize proper record-keeping to ensure the protection and preservation of departmental records in accordance with EMCBC policies and procedures. (Ref 4.2.5, 4.2.6 & 4.2.7)
- 6.6.4 File and maintain records that are created or received in accordance with EMCBC MFP.

6.7 EMCBC Personnel:

- 6.7.1 All employees who generate or receive recorded information are required to determine if material requires special handling and is considered a record or non-record.
- 6.7.2 Forward records to your organizational unit Records Custodian for filing, or file in individual offices if you are the designated Record Holder.
- 6.7.3 Never remove or destroy records without prior approval from the Records Management staff, even if the record has met the appropriate retention schedule.
- 6.7.4 File personal papers and non-record materials separately from official EMCBC records.

7.0 GENERAL INFORMATION

From the inception of the EMCBC in 2004, until October 2008, the EMCBC files were set up according to a Uniform File Code (UFC). (See Attachment B for a copy of the discontinued UFC) Over time, as the files became inactive and dispositioning became appropriate, it was discovered that many of the codes did not allow for straightforward dispositioning, as they

did not directly link to a specific single disposition authority as approved by the National Archives and Records Administration.

After a complete inventory of EMCBC records in 2008, Rev 2 of this procedure created a new Master File Plan and new filing codes were established. These file codes link directly to approved disposition schedules and will allow for efficient dispositioning of all records. (i.e. File Code ADM 01-18-A [Supervisor's Personnel Files] links to the approved disposition authority of the Department's Administrative (ADM) Schedule 1, item 18a)

All active record files and new files created after September 2008 must utilize the new Master File Plan.

7.1 All records are the responsibility of the record holder, record custodian and/or functional area Assistant Director. Records shall at all times be maintained in a safe and secure manner and protected from damage or loss.

7.2 Until such time that an electronic records management application is implemented, all electronic record information shall be printed to paper and filed accordingly.

▲ See Attachment C, "E-mail Quick Reference Guide" for additional information on electronic mail.

7.3 Unauthorized destruction of records can result in disciplinary action and/or criminal or civil penalties.

8.0 PROCEDURE

8.1 Identify Records

EMCBC Personnel

8.1.1 Determine if information requires special handling (i.e., OUO, UCNI, etc.), according to definitions listed in Section 5.0. If special handling is required, refer to the appropriate DOE Manual (See Section 4.0) to ensure it is marked, protected, and stored in accordance with the guidelines. Contact Records Management staff for assistance with records that require special handling.

8.1.2 Review each document created and/or received (including electronic mail) to determine whether it is record or non-record material.

▲ Refer to Attachment D, "What is a Record" to help make a record/ non-record determination. Contact your Records Custodian if you have questions concerning whether a document is a record or non-record.

► Although incoming and outgoing correspondence are identified, scanned, entered and tracked through the Controlled Correspondence Tracking

System (CCTS) (per IP-410-01, reference 4.2.8) at the time it is generated or received the record copy of all controlled correspondence is not maintained electronically, nor maintained in a centralized location; but rather, maintained by each organization according to their approved File Plan.

8.1.2.1 Forward records to your organizational unit Records Custodian for filing; or file in individual offices if you are the designated Record Holder. All official records must be maintained according to the MFP.

8.1.3 If non-record and personal documents are needed for future reference, they shall be noted as such and shall be maintained separately from records. Elimination of non-records from the organizations' records reduces retention expense.

► See Attachment E, "Working Papers Quick Reference Guide" for additional guidance on handling working papers (e.g., drafts, notes, etc.).

8.2 Record Filing

Records Custodian (for records in a centralized file area, or **Record Holder** for records filed in individual offices)

► Utilization of centralized filing is recommended where practical; this means the organizational unit records are maintained in one location. The Records Custodian is responsible for maintaining the organizational unit files in a centralized area.

8.2.1 Verify that the document has been properly identified as a record/non-record. Resolve any discrepancies with the employee from whom it was received.

▲ Sensitive information (e.g., OUO, UCNI) requires proper protection, therefore cannot be filed in an open central file area. Contact a member of the Records staff for assistance. A cross reference may be required in place of the actual record, to show the record exists and to alert others where it is maintained.

8.2.2 Determine proper filing designation by comparing the information content of the document with the document description in the organizational File Plan listing to ensure there is an entry for the document. Contact EMCBC Records staff for assistance identifying an appropriate file code.

8.2.3 Prepare the document for filing by completing the following:

8.2.3.1 Underline/highlight the designation if it is already present on the document.

8.2.3.2 Determine if an appropriate file already exists. If so, file record in folder. If no file exists, have a new file prepared by the Record Custodian, and then file record.

8.2.4 Maintain a file folder for each file code for which you have records. Arrange file folders in the exact File Code sequence in which that subject appears on the EMCBC MFP. Each file shall have a typed label that includes the file code, folder title, and fiscal year or calendar year (if applicable). For example: Official Personnel Files would normally be filed alphabetically, without any fiscal/calendar year notation, but perhaps with an employment start date.

ADM 01-18-A	<i>Supervisor's Personnel Files</i>	
ADM 01-18-A	<i>Adams, John J ~Supervisor's Personnel File</i>	06/1982-
ADM 01-18-A	<i>Harris, Robert I ~ Supervisor's Personnel File</i>	01/1979-
ADM 01-18-A	<i>Smith, Daniel R. ~ Supervisor's Personnel File</i>	10/2003-
ADM 22-01-A2A	<i>Audit/Investigative Records - Reports</i>	
ADM 22-01-A2A	<i>Assessment LOG0900427, Security Access Administration ~ Moab Project</i>	FY2009
ADM 22-01-A2A	<i>Assessment LOG0900555, Records Management, Controlled Document Program ~ West Valley Federal Offices</i>	FY2009
ADM 22-01-A2A	<i>Assessment LOG0900678, Excess Property Dispositioning ~ Paducah, XYZ Contractor</i>	FY2009
	<i>**OR**</i>	
ADM 22-01-A2A	<i>Contractor Excess Property Dispositioning Assessment LOG0900678 ~ Paducah</i>	FY2009
ADM 22-01-A2A	<i>Security Access Administration Assessment LOG0900427 ~ Moab Project</i>	FY2009
ADM 22-01-A2A	<i>Records Management, Controlled Document Program, Assessment LOG0900555 ~ West Valley Federal Offices</i>	FY2009

► As shown in the above example, there can be multiple file folders within a Master File Plan code. A separate code is ***not*** used based upon a subdivision of the filing arrangement.

Assessment files (file code ADM 22-01-A2A) could be filed numerically by assessment number, alphabetically by title of assessment, geographically by project/site, or by the subject matter of the assessment. Consult the File Plan for the preferred arrangement for each MFP code. If a particular organization prefers to utilize a different filing arrangement for their files within a MFP code, they

may do so pending documentation on their organizational File Plan and approval by the Records Management staff.

8.3 File Maintenance

Neatness and orderliness are essential to filing efficiency. The following instructions will assist in maintaining this efficiency.

- Destroy any duplicate copies to reduce record maintenance costs.
- Identify File Drawers. The uniform file code number shall be placed on the drawer label. Label file drawers to indicate what files, subjects, or names are filed in them. Indicate the year, if appropriate.
- Arrange files front to back in each drawer and from top drawer to bottom in each filing cabinet.
- Prevent Overcrowding the Files. Allow at least four inches of space in each active file drawer to permit sufficient working space.
- Keep Papers Straight. When placing material in file folders, do not let the papers extend beyond the edges of the folders. Crease or fold papers when necessary.
- Store non-standard size records as a separate group due to size or physical characteristics. Non-standard size records include films, tapes, cartographic materials and drawers, computer printouts, and photographs. These items should be cross referenced to the proper file folder.
- Avoid Overloading File Folders. When the contents of the folder increase to the point that papers begin to obscure folder labels, crease the bottom of the folder leaves at the second expansion line to increase the capacity of the folder. When the folder content reaches $\frac{3}{4}$ inches, either:
 - Add a new folder bearing the same file designation in front of the full folder and show inclusive dates on the folders; or
 - Subdivide the contents of the folder, if practical, by adding new file designations.
 - Avoid Cluttering the Files. Bulky material should be filed in equipment suitable to its size and not mixed with standard size documents. This material can be cross referenced so that it can be readily identified with the related papers in the regular files.

8.4 File Removal

- 8.4.1 When records are removed from the file and forwarded to an individual or office, a record of such loan shall be made. A Charge-Out Record shall be filled out and put in the folder or file drawer in place of the withdrawn material. Place the Charge-Out Record at the exact location of the withdrawn material with the "OUT" portion clearly visible. The Record Custodian shall review the Charge-Out Record forms periodically and request the return of records that have been charged out for a long period of time. When the material is returned to the file, remove the charge-out

card and draw a line through the entry indicating the charge. Proper and consistent use of this form will eliminate much wasted effort in searching for documents.

The identification, filing and maintenance of records cover the first two stages of the records lifecycle. During these stages of the records life cycle, an EMCBC Master File Plan will be created, along with a Vital Records Inventory. The master file plan provides a standardized records classification scheme that improves filing, enhances access and retrieval, and supports the use of records disposition schedules. File cut offs are also established as part of the File Plan. Records disposition tasks are part of the third and final stage of the records life cycle. These tasks will be described in a separate procedure(s) covering Records Disposition.

9.0 RECORDS MAINTENANCE

No new records are generated as a result of implementing this procedure; however, this procedure details the identification and filing for most all of the day-to-day records generated/received at the EMCBC.

10.0 FORMS USED

None

11.0 ATTACHMENTS

11.1 Attachment A, Master File Plan – Reference Only

11.2 Attachment B, EMCBC Uniform File Code – Obsolete

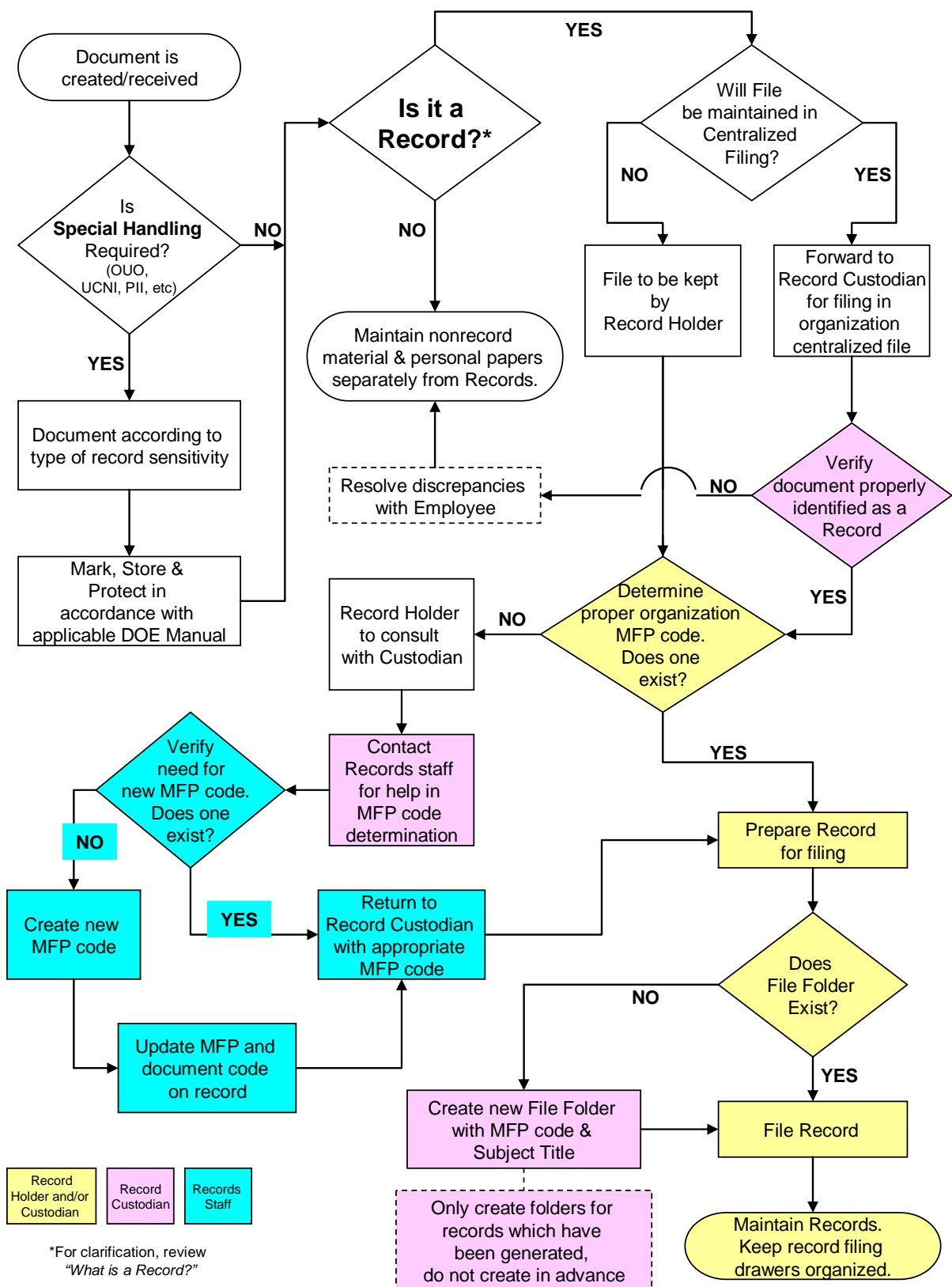
11.3 Attachment C, “E-mail Quick Reference Guide”

11.4 Attachment D, “What is a record”

11.5 Attachment E, “Working Papers Quick Reference Guide

11.6 Attachment F, Additional Information Sources

12.0 FLOWCHART



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ATTACHMENT A, UNCONTROLLED EXAMPLE PAGE FROM NEW MASTER FILE PLAN –
See EMCBC Services Web Page for Controlled Copy of File Plan

DRAFT EMCBC Master File Plan (MFP)

Master File Code (MFC)	Series Title	Series Description	File Cutoff	File Arrangement, Notes and/or Special Handling	Retention Period ¹	Office of Record	Orgs with this series
ADM 01-01	OFFICIAL PERSONNEL FOLDERS OF FEDERAL EMPLOYEES.	RECORDS FILED ON THE RIGHT SIDE OF THE OFFICIAL PERSONNEL (OPF). FOLDERS COVERING EMPLOYMENT TERMINATED AFTER DECEMBER 31, 1920, EXCLUDING THOSE SELECTED BY NARA FOR PERMANENT RETENTION.	Event Driven	UPON TERMINATION OR SEPARATION ASSIGN TO ADM 1.1A OR ADM 1.1B. ARRANGED ALPHABETICALLY BY EMPLOYEE. FORMALLY FILE CODE 3293. ADM 1.1 - ACTIVE EMPLOYEES - FILES HAVE BEEN SCANNED IN EOPF (ELECTRONIC OFFICIAL PERSONNEL FOLDERS) UP THROUGH SEPTEMBER 2007. FY2008 DOCUMENTS HAVE NOT BEEN SCANNED TO DATE. ADM 1.1A - TRANSFERRED EMPLOYEES. SEE CHAPTER 7 OF THE GUIDE TO PERSONNEL RECORDKEEPING FOR INSTRUCTIONS RELATING TO FOLDERS OF EMPLOYEES TRANSFERRED TO ANOTHER AGENCY. PHYSICAL TRANSFER OCCURS WHEN SF50 IS RECEIVED FROM REQUESTING AGENCY. ADM 1.1B - SEPARATED EMPLOYEES. TRANSFER TO THE NATIONAL PERSONNEL RECORDS CENTER (NPRC), ST. LOUIS, MO, 30 DAYS AFTER LATEST SEPARATION. NPRC WILL DESTROY 65 YEARS AFTER SEPARATION FROM FEDERAL SERVICE.	SEE SPECIAL HANDLING	HUMAN RESOURCES	HUMAN RESOURCES
ADM 01-03	FEDERAL PERSONNEL OFFICE CORRESPONDENCE FILES.	CORRESPONDENCE, REPORTS, AND OTHER RECORDS RELATING TO THE GENERAL ADMINISTRATION AND OPERATION OF PERSONNEL FUNCTIONS, BUT EXCLUDING RECORDS MAINTAINED AT AGENCY STAFF PLANNING LEVELS.	Fiscal Year	ARRANGED CHRONOLOGICALLY. OLD UFC 3000 - PERSONNEL MANAGEMENT - GENERAL AND 3735.	DESTROY WHEN 3 YEARS OLD.	HUMAN RESOURCES	DIRECTOR HUMAN RESOURCES
ADM 01-06	EMPLOYEE RECORD CARDS.	EMPLOYEE RECORD CARDS USED FOR INFORMATIONAL PURPOSES OUTSIDE PERSONNEL OFFICES.	Event Driven	FILE ON ROCKY FLATS EMPLOYEES. NEED TO GET START DATE FROM ROBIN AND SEE IF ROCKY HAS OFFICIALLY CLOSED IN ORDER TO DETERMINE CUT OFF. FORMALLY FILE CODE 3293.	DESTROY 75 YEARS AFTER SEPARATION OR TRANSFER OF EMPLOYEE.	HUMAN RESOURCES	HUMAN RESOURCES

Thursday, October 16, 2008

DRAFT Last updated 10/16/2008

¹ Many approved retention schedules are frozen under local or agency destruction moratoria. Before any records are destroyed, Records Management staff will review the records against any outstanding destruction moratoria.

* Denotes that the Master File Code in question is being maintained by two different organizations, in a differing file arrangement (i.e. alphabetic vs. chronologic) There is a unique occurrence (and underlying control number) for each

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EMCBC UNIFORM FILE CODE (UFC)

0000 CLASSIFICATION CODES, CHECKLISTS, AND INDEXES

1000 MANAGEMENT AND ADMINISTRATION - GENERAL

1010 Activities Report

- 1011 30-60-90 – Critical Needs
- 1012 96/72-Hour Notification
- 1013 Cabinet Report – Weekly
- 1014 Rocky Flats Transition Reports
- 1015 Ohio Transition Reports

1100 ORGANIZATION, AUTHORITIES, FUNCTIONS, AND INTERNAL RELATIONSHIPS

1110 Appointments and Designations

1111 Organization Charts

1111.1 EM Consolidated Business Center

1120 Committees, Conferences, Boards, Panels, Groups

1121 Meetings, Conferences

1122 Committees

1123 Visits, Tours

1124 Workshops, Seminars, Retreats, Groups, Task Forces

1130 Service Level Agreements

1200 EXTERNAL RELATIONSHIPS

1210 Public Relations

1211 Press Releases

1212 Requests for Information (non-FOIA)

1220 Congressional Relations

1240 - 1250 Reserved

- 1260 Business/Labor Relations
- 1270 Interagency Relations/Agreements
- 1280 Memorandum of Understanding

1300 MANAGEMENT SYSTEMS AND STANDARDS

- 1310 Management Studies, Analyses, and Surveys
 - 1311 Audits, Appraisals, Reviews, Investigations, Status Reports
- 1320 Paperwork Management
 - 1321 Directives Management
 - 1322 **Reserved**
 - 1323 Reports Management
 - 1324 Records Management
 - 1324.1 Rocky Flats
 - 1325 Correspondence Management
 - 1326 DOE Orders

1400 ADMINISTRATIVE SUPPORT AND SERVICES

- 1410 Mail Services
 - 1411 Federal Express Air Bills

1500 TRAVEL AND TRANSPORTATION

- 1510 Personnel – DOE and Contractor Travel

1600 EQUAL OPPORTUNITY

- 1610 Contractor Industrial Relations

1700 FREEDOM OF INFORMATION

1710 Government Accountability Project (GAP)

2000 LEGAL

2010 - 2030 **Reserved**

2040 Claims and Litigation

2041 Fernald Litigation

2042 Rocky Flats

2043 Miamisburg

2050 **Reserved**

2060 Hearings

2100 FINANCIAL MANAGEMENT - GENERAL

2110 Pricing

2200 ACCOUNTING

2210 General Financial Reports

2220 Payroll, Leave, and Allowances

2230 **Reserved**

2240 Collection, Safekeeping, Deposit, and Disbursement of Funds

2241 **Reserved**

2242 Statement of Costs Incurred and Claimed (SCIC)

<u>2250</u>	Contracts/Contractor
<u>2251</u>	Contracts
<u>2251.1</u>	Fluor Fernald, Inc. (DE-AC24-01OH20115)
<u>2251.2</u>	CH2M Hill Mound, Inc. (DE-AC24-03OH20152)
<u>2251.3</u>	ECC&E ² Closure Services, LLC (DE-AC24-04OH20171)
<u>2251.4</u>	West Valley Nuclear Services Company (DE-AC24-81NE44139)
<u>2251.5</u>	RMI Titanium Company (DE-AC24-93CH10555)
<u>2251.6</u>	Kaiser-Hill, LLC (DE-AC34-00RF01904)
<u>2251.7</u>	Ashtabula Closure Project
<u>2251.8</u>	MOAB Remediation Project
<u>2251.9</u>	Portsmouth/Paducah Project Office
<u>2251.10</u>	Oak Ridge (DE-AC05-03OR22988)
<u>2251.11</u>	SPRU
<u>2251.12</u>	Oakland Project Office
<u>2252</u>	Task Content Statements
<u>2252.1</u>	SAIC
<u>2253</u>	Change of Operating Contractor
<u>2253.1</u>	Requests for Proposal (RFP)
<u>2260</u>	Obligations
<u>2270</u>	Cost Accounting Standards
<u>2280</u>	Cost Reports

2300 AUDITING

2310 Audit Reporting

2320 Internal Audit and Investigation

2400 - 2900 (Reserved)

3000 PERSONNEL MANAGEMENT - GENERAL (Numbering system compatible with the Federal Personnel Manual numbers)

3100 (Reserved)

**3200 PERSONNEL PROVISIONS – GENERAL – HUMAN RESOURCES
DEPARTMENT HAS RECORDS FILED IN THEIR AREA**

3293 OFFICIAL PERSONNEL FILES OF FEDERAL EMPLOYEES

3300 EMPLOYMENT

3400 EMPLOYEE PERFORMANCE AND UTILIZATION

3500 POSITION CLASSIFICATION, PAY, AND ALLOWANCES

3600 ATTENDANCE AND LEAVE

3700 PERSONNEL RELATIONS AND SERVICES

4000 LOGISTICS MANAGEMENT - GENERAL

4100 (Reserved)

4200 PROCUREMENT

4210 Authorities, Responsibilities, and Regulations

4300 REAL PROPERTY MANAGEMENT

4310 Authorities, Responsibilities, and Regulations

4320 Facilities Planning

4321 Decommissioning and Decontamination

4330 - 4340 **RESERVED**

4350 Federal Property

4400 PERSONAL PROPERTY MANAGEMENT

4410 Authorities, Responsibilities, and Regulations

4420 Equipment, Supply, and Inventory Management

4421 Property Missing, Lost, Damaged, Theft

4430 Property in Use Management

4431 Excess

4432 Transfer

4440 Vehicle Management

5000 PROGRAM PLANNING AND MANAGEMENT

5010 - 5020

5030 Policy Development and Coordination

5031 – 5032 **RESERVED**

5033 EMCBC Procedures

5040 – 5050 **RESERVED**

5060 Quality Assurance

5070 Quality Assurance Monthly Progress Reports

5080 Environmental Restoration & Waste Management

5100 PLANNING, PROGRAMMING, AND BUDGETING

5110 Special Studies

5120 Program Proposals

5130 Departmental Review

5131 Secretarial Review

5132 Internal DOE Appeals

5140 Program Memorandums - Performance Measures

5150 Budget Submissions

5151 DOE Review

5152 OMB Review

5160 Budget Execution

5170 Budget Reports

5200 MANPOWER MANAGEMENT

5210 Corporate Activity Requests

5300 TELECOMMUNICATIONS

5400 ENVIRONMENTAL QUALITY AND IMPACT

5410 – 5470 **RESERVED**

5480 Environmental Safety and Health (ES&H)

5481 Defense Nuclear Facilities Safety Board

5482 Electrical Safety

5500 EMERGENCY PREPAREDNESS

5510 Operational Plans

5520 **RESERVED**

5530 Emergency Resources Management

5540 Reports, Tests, and Exercises

5600 DEFENSE PROGRAMS

5610 - 5620 **RESERVED**

5630 Safeguards and Security

5631 Personnel Security

5632 Physical Security

5633 Reviews

5700 ENERGY PROGRAMS AND POLICIES - GENERAL

5800 ENERGY RESEARCH AND TECHNOLOGY

5810 Health and Safety

6000 ENERGY POLICY AND EVALUATION

6100 RESOURCE APPLICATIONS

6200 ENERGY CONSERVATION

7000 NUCLEAR MATERIALS

7020 Inventories

7030 Materials

7031 Beryllium

7032 Thorium

7040 Precious Metals

7050 RESERVED

7060 Reports

8000 PLANT OPERATIONS

9000 WASTE MANAGEMENT

9100 - 9200 (Reserved)

9300 WASTES

9310 Solid

OBSOLETE - DO NOT USE

HISTORICAL REFERENCE ONLY

9320 Mixed

9330 Transuranic (TRU)

9340 Transportation

9400 – 9900 (Reserved)

10000 PRESENTATIONS

Viewgraphs for DOE Briefing Meetings

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E-mail Quick Reference Guide

E-mail Messages Are Records When...

- They are made or received by your agency under Federal law or in connection with public business; **and**
- They are preserved or are appropriate for preservation as evidence organization, functions, policies, decisions, procedures, operations, or other activities of the Government, or because of the information value of the data they contain.

Principal Categories of E-mails to be Preserved

Preserve any e-mail correspondence that:

- Documents the formulation and execution of basic policies and decisions and the taking of the necessary actions
- Documents important meetings
- Facilitates action by you or your successors
- Makes possible a proper scrutiny by the Congress or by duly authorized agencies
- Protects the financial, legal, and other rights of the Government and of persons directly affected by the Government's actions

E-mail Messages that May Constitute Federal Records

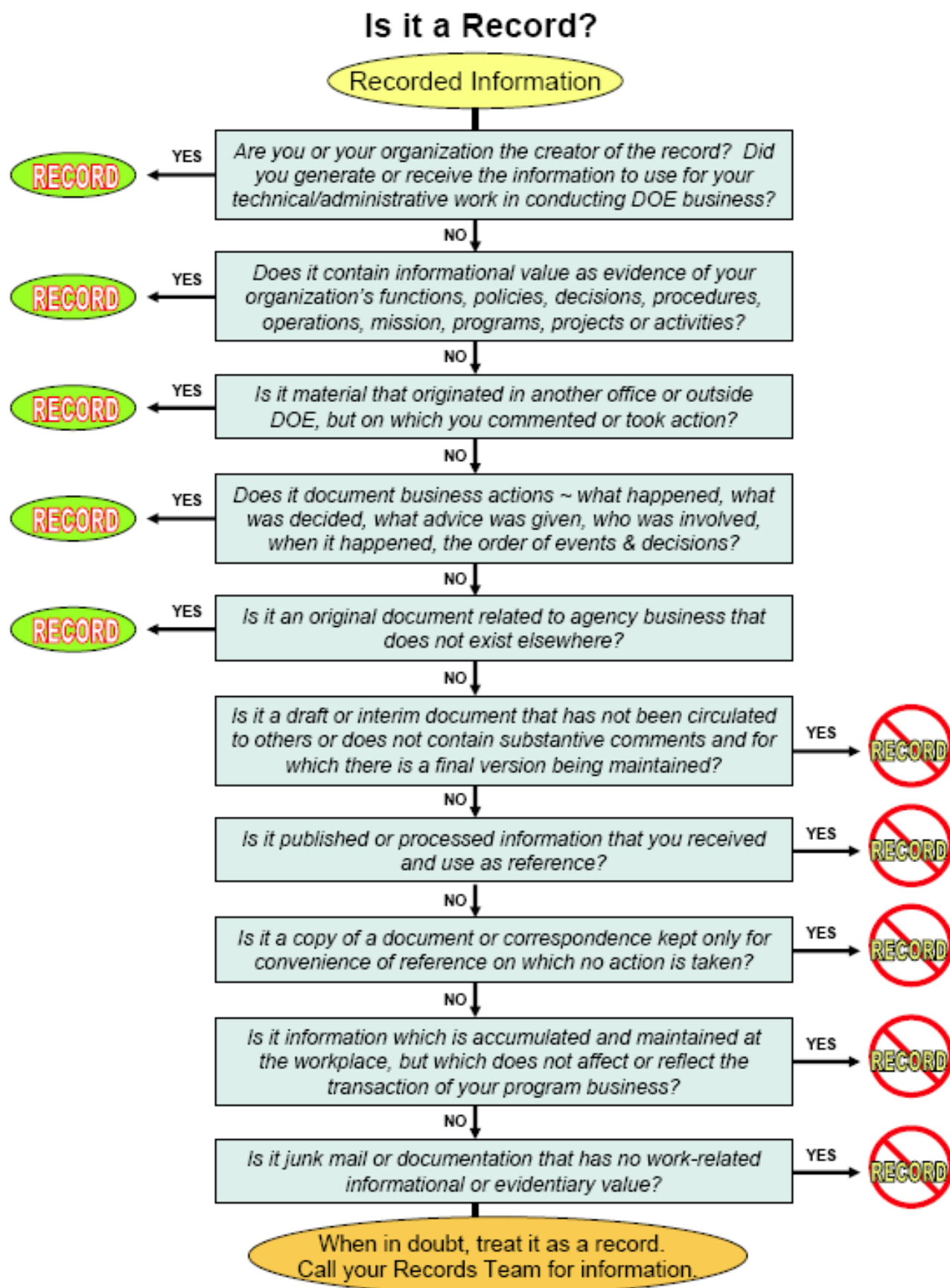
Your e-mail may be a Federal record if it:

- Provides key substantive comments on a draft action memorandum, or adds to a proper understanding of the formulation or execution of Agency action
- Provides documentation of significant Agency decisions and commitments reached orally (person-to-person, by telecommunications, or in conference) that is not otherwise documented in your files
- Conveys information of value on important Agency activities, or adds to a proper understanding of Agency operations and responsibilities

Points to Remember about E-mail

- Agency e-mail systems are for "official use" only by authorized personnel
- Before deleting any e-mail message, determine whether it meets the legal definition of a record and, if so, preserve a copy of the message
- **Printed messages kept as a record should contain essential transmission, receipt data, and attachments; if not, print the data or annotate the printed copy**
- File printed messages and essential transmission and receipt data with related files
- Delete messages that are not records when no longer needed
- Delete messages that are records, after they have been placed in a recordkeeping system

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WORKING PAPERS QUICK REFERENCE GUIDE

Working papers are rough notes, calculations, or drafts assembled or created and used to prepare or analyze other documents. Recordkeeping requirements, filing plans, and records schedules are the best source of information about whether working papers need to be retained for the type of activity being documented. Working papers, including drafts, background information, etc., may or may not be needed as part of the documentation for activities.

Working Papers are retained when...

In some cases, working papers such as drafts, notes, comments, and background materials may be needed to adequately document agency activities. Drafts and working papers or files that propose and evaluate options or alternatives and their implications in the development of high-level policies and decisions or that document findings or support recommendations should be preserved.

Principal Categories of Disposable Working Papers...

In other cases, working papers may not be needed once a document is completed. There are two principal types of disposable working papers:

- Working papers that receive no official action themselves, are not reviewed or approved by others, and are simply used to prepare documents for official action such as review, signature, publication, etc.

Examples: Budget calculations using different parameters, preliminary outlines for a report, lists of suggested points to be included in a memo.

- Working papers that relate to preliminary, interim or ancillary activities that are **not needed** as part of the official record of the activity.

Examples: Drafts of routine memoranda and correspondence and proposed changes, informal comments received on a draft publication, documents used to brief staff and achieve concurrence on a proposed action.

Specific Types of Working Papers Include...

Drafts

Drafts, and the comments on them, require special attention. In some cases, drafts and comments on them must be included in the official files as part of the documentation activity. Although records of Federal agencies usually contain high-level policies and decisions, policy formulation and execution may be poorly documented. Support documents such as drafts and working files for reports, special studies, memoranda, and correspondence that support major program policy development may not be incorporated into office files. These support documents may be needed to fully understand the alternatives and options considered for high-level program initiatives, and

the basis for deciding on a course of action. Some drafts contain unique information in substantive annotations or comments added during circulation for comment or approval. Agencies should maintain such drafts, with the file copy of the final document, if any, when the drafts relate to formulation and execution of high-level policies, decisions, actions, or responsibilities.

However, there are many instances when drafts can be safely destroyed. Drafts and working papers or files that relate to routine program administrative operations or that contain only corrections or editorial or stylistic changes may be disposed of as non-record materials. Examples include drafts not circulated for comment and drafts of most general publications, correspondence, internal memoranda, and other documents not related to critical functions. In such cases, drafts and editorial comments can be destroyed once changes have been included in a revised version.

Notes

Unless otherwise specified, notes may be deleted/destroyed once they are incorporated into a final product. Examples include notes used to prepare minutes of meetings, records of telephone conversations, decision memoranda, or other documents when the gist of the discussion, conversation, direction, or other activity is embodied in a document that states the official Agency decision, position, or outcome.

Comments

Unless otherwise specified, comments received on drafts, proposals, suggestions, and similar things can be deleted/destroyed once they have been incorporated or summarized for the official record. Examples include editorial comments on drafts of internal memoranda, routine correspondence, and reports.

However, comments received via a formal Agency comment process, comments received from the public/regulated community, or comments received during a formal review by outside experts should be carefully documented for the record, either by keeping the original comments themselves, or, if volume is extensive, keeping a summary of the comments and how they were used. Substantive comments added during circulation for comment or approval and other important documents should be retained.

Development materials

Special attention should be given to notebooks, calculations, and other background materials that may contain information needed to supplement formal records. *However*, documents such as preliminary calculations, approaches to issues, outlines, and other documents that the individual uses to prepare documents for official action can be deleted/destroyed once they are incorporated into a final product.

Examples include annotated copies of documents, preliminary calculations, results of preliminary investigations, lists of points to be considered or included, ideas or

suggestions received from coworkers, and other documentation used in the development of documents for official action.

Points to Remember about Working Papers

- Recordkeeping requirements, filing plans, and records schedules are the best source of information about whether working papers need to be retained for the type of being documented.
- When in doubt, contact your Records Manager for further guidance.

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Additional Information Sources

18 U.S.C. 2071, *Concealment, Removal, or Mutilation Generally* (describes penalties for willfully and unlawfully destroying, damaging, or removing Federal records)

Records Management section of the DOE Chief Information Officer Web site

U.S. Department of Energy, Office of Chief Information Officer, “*Records Management Handbook*”, dated September 2006

DOE G 1324.5b, “Implementation Guide for use with 36 CFR Chapter XII – Subchapter B, Records Management,” dated 7-19-96

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EMCBC RECORD OF REVISION**DOCUMENT**

If there are changes to the controlled document, the revision number increases by one. Indicate changes by one of the following:

- I** Placing a vertical black line in the margin adjacent to sentence or paragraph that was revised.
- I** Placing the words GENERAL REVISION at the beginning of the text.

Rev. No.	Description of Changes	Revision on Pages	Date
1	Initial Procedure	All	03/07/07
2	GENERAL REVISION to discontinue use of Uniform File Code (UFC) and incorporate use of new EMCBC Master File Plan (MFP). Revision also aligns with changes in CCTS procedure (IP-410-01) to discontinue a Central File Room for controlled correspondence and distribute incoming correspondence to organizations for filing within their organization files.	All	10/30/2008